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ABSTRACT

Data from a survey on serials arrangement procedures and policies at academic libraries was used by the University of Rhode Island (URI) Library in changing current serials policies. Ten libraries, four of which have similar serial holdings and user populations to URI, responded to a questionnaire. Information was obtained on classification versus alphabetization of serials, and missing issues, cataloging, and title change procedures. Based on analysis of this information, recommendations were made for the URI Library concerning: (1) annual publications; (2) bound and unbound serials; (3) newspapers; (4) public catalog entries; (5) computer printouts; (6) incomplete volumes; and (7) title changes. The questionnaire is appended. (KP)

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AN INVESTIGATION OF SELECTIVE COLLEGE AND UNIVERSITY LIBRARIES' SERIAL ARRANGEMENT

by

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and

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IR004667

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This paper is the result of a study conducted by a Dean's Committee at the University of Rhode Island Library. It explains the initiative for the study, the procedures followed, and the recommendations that were made to the Library's Administration. It is hoped that the statistical information will be of help to others conducting similar surveys or making similar decisions.

February 1977

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An Investigation of Selective College and University Libraries' Serial Arrangement

Historically, serials in the University of Rhode Island have been shelved in different locations determined by whether the serial was bound, unbound, catalogued, uncatalogued, classified, or unclassified. The alphabetical sequence for unbound current serials began on the first floor and continued to the second floor. Bound serials were classified in either the Dewey Decimal or Library of Congress Classification system and intershelved with the monographs. Incomplete volumes were stored in a non-public area which had limited access after Library office hours. Uncatalogued and unclassified bound titles were designated by "W" in the public records, on the spine, and shelved in another alphabetical sequence. All of these sparate locations were inconvenient, inefficient, and confusing to the Library users.

In Spring 1973, the initial proposal for the Library's new addition indicated to the Library Faculty that the increase in floor space would allow all bound and unbound serials to be shelved on one floor. This offered an opportunity for a major change in serials arrangement and policy. Immediately, many questions arose concerning the best way to arrange the serials. Most prominent was whether bound and unbound serials should be classified or alphabetized.

The Dean, University Libraries appointed the Serials Arrangement Committee to investigate all aspects of existing problems, to study alternative arrangements and policies, and to make recommendations for a viable system for the University of Rhode Island Library.

Introduction Realizing that the experiences of other academic libraries would be highly relevant to their work, the Committee made a search of the literature in the fall of 1973 and found still valid Gloria Whetstone's 1961 statement "Literature published in the field of serials revealed little or no material on procedures in college and university libraries."[1]

Preliminary on-sight investigations of serial collections in libraries at the Marine Biological Laboratory in Woods Hole, Massachusetts, Providence College, and the University of Connecticut, and the undergraduate libraries at the Universities of Tennessee, Iowa and Michigan gave evidence that these academic libraries faced similar problems but that solutions were not consistent. Some of the inconsistencies in serial practices are as follows:

1. Definitions were not consistent for a serial, periodical, journal, etc.
2. Main entry for serials published by an organization were established under corporate body in some libraries and under the title in others.
3. Title changes, mergers, splits, cessations, were handled in a variety of ways:
   a. Some libraries relabelled the spines with each title change.
   b. Some libraries listed changes on the shelf beneath the journal.
4. Various authorities for main entry were used.
5. Current issues of journals were shelved either with bound serials or in a separate collection.
6. Unbound, incomplete volumes were stored in open shelves, closed shelves, current periodicals room, and with bound serials.

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1. Whetstone, Gloria, "Serials Practices in Selected College and University Libraries", Library Resources and Technical Services, V.5 (4): 284-290, Fall 1961.

7. Different departments were responsible for servicing journals after they had been processed and placed on the shelves.
8. Listings of journals and holdings records could be found in the public catalog, computer print-outs, separate serial catalogs, and in non-public records.
9. When serials were arranged alphabetically, various filing systems were used. (Word by word with articles omitted; word by word with articles included, by title, letter by letter.

The on-sight inspections served only to add more questions rather than to provide solutions for the existing questions. The Committee decided to expand the survey of academic libraries, in hope of finding a trend or preference for one mode of procedure.

Procedure A set of questionnaires[2] was developed and mailed to the libraries included in the Whetstone study,[3] and eight additional libraries. The additional libraries selected had serial holdings of approximately the same number of titles as the University of Rhode Island Library, and a similar user population consisting of undergraduates, graduate students, faculty and researchers.

In all but two cases, the Serials Librarian or Head of the Serials Department filled out the questionnaire. In the other two cases, the Head of Technical Services and a librarian in technical services completed the questionnaire.

For purposes of consistency, in answering the questionnaire, the definition of a serial, as stated in the Anglo-American Cataloging Rules, 1967, was used:

> "a publication issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. Serials include periodicals, newspapers, annuals, (reports and yearbooks, etc.) the journals, memoirs, proceedings, transactions, etc. of Societies."

The above definition does not include numbered monographic series. The cover letter accompanying the questionnaire included the definition and other instructions.[4]

Six of the sixteen originally surveyed libraries, the University of Iowa (Iowa), Pennsylvania State University (Penn), Duke University (DUKE), North Carolina State University at Raleigh (NCSU), the University of Texas at Austin (Texas), the Milton S. Eisenhower Library at Johns Hopkins University (Johns Hopkins), and four of the additional libraries, Dartmouth College (Dartmouth), the James Branch Cabell Library at Virginia Commonwealth University (Virg.), Rockefeller Library at Brown University (Brown), and the University of Maine at Orono (Maine) returned questionnaires.

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2. See Appendix A.
3. Whetstone p. 284.
4. See Appendix B.

The questions sought to determine how these selected Libraries arranged serials, handled cataloging and binding practices, kept in-house records, and maintained serial collections. More specifically, they referred to the problems listed in the introduction of this paper, which had been identified by the Committee.

Tabulations of the responses to the questions are in the following tables. The tables follow the sequence of the questions on the questionnaire. When a question was not answered by a library, the name of the library is omitted from the table. In an instance where the question did not apply to the anwering library, NA has been used.

Data Answers to individual questions: General Section

1. How are serials defined in your library?

	lack definition	AACR 1967 suitable	AA Rules	Other
Dartmouth			XX	
Virginia		XX		
Johns Hopkins		XX		
Iowa		XX		
Maine	XX			
Penn		XX		
Brown		XX		
Texas		XX		
NCSU		XX		
Duke		XX		
URI		XX		

2. How many serial titles does your library currently receive?

Dartmouth	about 12000	
Virginia	3500	
Johns Hopkins	about 10000	
Iowa	about 20000	
Maine	4500	
Penn	26530	
Brown	13000	(includes monographs in series)
Texas	21000	
NCSU	13585	(includes 7000 irregular serials)
Duke	18298	
URI	10000	(estimate)

3. How many new serial titles did you subscribe to in:

	1970	1971	1972	1973	1974 (estimate)
Dartmouth	1022	871	1361	1193	1200
Virginia	NA	NA	700	1000	2000
Johns Hopkins	NA	50	50	500	500
Iowa	1462	1243	1084	1174	NA
Maine	few	few	few	few	few
Penn	NA	2522	1423	1103	only those matched by cancellation or cessation
Brown	NA	NA	382	346	300

	1970	1971	1972	1973	1974 (estimate)
Texas	1250	2256	2297	1009	1000
NCSU	NA	590	360	313	316
Duke	1129	1188	1170	1088	1115
URI	NA	NA	NA	NA	NA

4. Indicate the following serials that are cataloged by your library:

	all serials	annuals	journals	memoirs	newspapers	periodicals	proceedings	reports	reviews	transactions	yearbooks
Dartmouth		X	X	X		X	X	X	X	X	X
Virginia		X		X			X*	X*	X*	X*	X
Johns Hopkins	X										
Iowa	X										
Maine		X	X	X	X	X	X		X	X	X
Penn		X	X	X		X	X	X	X	X	X
Brown	X										
Texas	X										
NCSU	X										
Duke		X	X	X		X	X	X	X	X	X
URI		X	X	X		X	X	X	X	X	X

* indicates if annual the item would be cataloged

5. Does the cataloging include subject headings?

	YES	NO	OTHER
Dartmouth	x		
Virginia	x		
Johns Hopkins	X		
Iowa	X		
Maine			selectively
Penn	X		
Brown	X		
Texas	X		
NCSU	X		
Duke	X		
URI	X		

6. Does the cataloging include added entires?

	YES	NO	OTHER
Dartmouth	X		
Virginia	X		
Johns Hopkins	X		
Iowa	X		
Maine			selectively
Penn	X		
Brown	X		
Texas	X		
NCSU	X		
Duke	X		
URI	X		

7. Do you recatalog when a change of title occurs?

	YES	NO	OTHER
Dartmouth	X		
Virginia	X		
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X		
NCSU	X		
Duke			not always
URI	X		

8. How would a title change affect the public record?

	NA	successive cataloging w/ linking notes	catalog latest title	title varies note	Reference to new title
Dartmouth		XX			
Virginia			XX		XX
Johns Hopkins			XX		XX
Iowa			XX		XX
Maine		XX			
Penn			XX	XX	
Brown			XX		XX
Texas		XX			
NCSU			XX		XX
Duke		XX			
URI			XX	XX	XX

9. What authority do you use to establish a serial main entry?

	Library of Congress	New Serial Titles	Union List of Serials	other
Dartmouth	X	X	X	Berkeley BUCOP
Virg.	X	X	X	Va. Union List of Serials
Johns Hopkins	X	X	X	
Iowa	X	X		AACR
Maine	X	X	X	
Penn	X	X	X	
Brown	X	X	X	various bibliographies
Texas	X	X	X	National Bibliographies
N.C.S.U.	X	X	X	X
Duke	X	X	X	
URI	X	X	X	

10. Do you attempt to replace missing issues before binding a volume?

	YES	NO	OTHER
Dartmouth	X		
Virg.	X		
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X		
N.C. S.U.	X		
Duke	X		
URI	X		

11. How long would you wait for a missing issue to be located?

	VARIES	one month or less	3 to 6 months	one year
Dartmouth	X			
Virg.				X
Johns Hopkins	X			
Iowa		X		
Maine	X			
Penn State	X			
Brown		X		
Texas			X	
N.C.S.U.	X			
Duke	X			
URI				X

12. Where are the incomplete volumes stored?

	PUBLIC AREA (Regular stacks)	Non-Public AREA (Technical Services, Bindary, Serials)	OTHER
Dartmouth	X		
Virg. Comm		X	
Johns Hopkins	X	X	
Iowa		X	
Maine		X	
Penn State		X	
Brown	X		(bound incomplete)
Texas	X		
N.C.S.U	X		
Duke	X	X	
URI		X	

13. If incomplete volumes are not left in the public stacks, is there a public record of where they may be located?

	YES	NO	OTHER
Dartmouth			NA
Virg. Comm	X		
Johns Hopkins		X	
Iowa	X		
Maine	X		
Penn State		X	
Brown			NA
Texas			NA
N.C.S.U	X		
Duke		X	
URI	X		

14. Where would a patron find a listing of the serials your library owns?

	Public Catalog by title	Serials Catalog	Computer Print-Out	Lindex Kardex Wheeldex	Book Catalog	Mform Listing	Service Desk
Dartmouth	X		X			X	
Virginia	X			X	X		
Johns Hopkins	X	X		X			
Iowa	X	X	X				X
Maine	X		X	X			
Penn	X		X				X
Brown	X		X	X			
Texas	X		X				
NCSU	X	X	X			X	
Duke	X					X	
URI	X		X				

15. Where would a record of serial holdings be found in your library?

	Public Catalog	Catalog Serials	Computer Print-Out	Lindex Kardex Wheeldex	Book Catalog	Mform Listing	Service Desk
Dartmouth	X		X			X	
Virginia	X			*			
Johns Hopkins		X					
Iowa			X				X
Maine			X	X			
Penn	X		X				
Brown	X		X	X			
Texas	X						
NCSU		X	X			X	
Duke	X					X	
URI			X				

*magazines & newspapers

16. Do you have open stacks for bound serials?

	YES	NO
Dartmouth	X	
Virginia	X	
Johns Hopkins	X	
Iowa	X	
Maine	X	
Penn	X	
Brown	X	
Texas		X
NCSU	X	
Duke	X	
URI	X	

17. Do you have open stacks for unbound serials?

	YES	NO	OTHER
Dartmouth	X		
Virginia		X	
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X		
NCSU	X		
Duke	X		
URI	X		

18. Which of the following serials circulate?

	all serials	annuals	journals	memoirs	newspapers	periodicals	proceedings	reports	reviews	transactions	yearbooks	NONE
Dartmouth		X	X	X	X	X*	X	X	X	X	X	
Virginia	X*											
Johns Hopkins												X
Iowa	X#											
Maine		X		X						X	X	
Penn		X		X			X	X	X	X	X	
Brown		X	X	X		X	X	X	X	X	X	
Texas	X											
NCSU		X		X			X	X	X	X	X	
Duke												X
URI												X

*only bound periodicals
#most current do not

19. Which department services unbound serials?

	circulation	serials	reference	other
Dartmouth			X	X
Virginia		X		
Johns Hopkins				X
Iowa		X		
Maine		X		
Penn		X		
Brown		X		
Texas	X	X	X	
NCSU		X		
Duke	X		X	
URI	X	X	X	

20. Which department services bound serials?

	circulation	serials	reference	other
Dartmouth	X			X
Virginia	X			
Johns Hopkins				NA
Iowa		X		
Maine		X		
Penn	X			
Brown	X			
Texas	X	X	X	
NCSU	X			
Duke	X			
URI	X	X	X	

The remaining questions were divided into two sections. If the responding library's bound serials were classified, Section A. was answered. If Bound serials were alphabetically arranged, Section B. was answered. For those libraries in which both methods were used, both sections were answered.

Answers to Questions in Section A (Bound Serials Classified)

A.1. Which serials are classified?

	all serials	annuals	journals	memoirs	newspapers	periodicals	proceedings	reports	reviews	transactions	yearbooks
Dartmouth		X	X	X		X	X	X	X	X	X
Virginia		X									X
Johns Hopkins	X										
Iowa		X		X			X	X	X	X	X
Maine		X		X			X		X	X	X
Penn		X	X	X		X	X	X	X	X	X
Brown	X										
Texas	X										
NCSU	X										
Duke		X	*	X		*	X	X	X	X	*
URI		X	X	X	*	X	X	X	X	X	X

* selectively

A.2. Which Classification system do you use?

	L.C.	Dewey	Other
Darthmouth	X		
Virg. Comm.	X		
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X	*	
N CSU	X		
Duke		X	
URI	X		

* Before May 1, 1972

A.3. Is the same classification system used for monographs?

	YES	NO	OTHER
Dartmouth	X		
Virg.	X		
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X		
N.C.S.U	X		
Duke	X		
URI	X		

A.4. Are your classified bound serials

	Intershelved w/ monographs	Shelved in area of own	other
Dartmouth	X		
Virg.	X		
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X		
NCSU	X		
Duke	X		
URI	X		

A.5. Are unbound serials:

	classified, shelved separately from bound	classified shelved with bound	alphabetically arranged
Dartmouth	X	X	X
Virginia		X	*
Johns Hopkins	X	X	X
Iowa		X	
Maine		X	*
Penn			X
Brown	X		
Texas	X		
NCSU	*	X	
Duke		X	
URI			X

*journals and periodicals

A.6. If at any time in the past, your serials were arranged alphabetically, why was a switch to a classified arrangement made?

	never switched	switched to classified	NA
Dartmouth	X		
Johns Hopkins	X		
Iowa	X		
Maine	X		
Penn	X		
Brown	X		
Texas	X		
NCSU		X	
Duke	X		
URI	X		

A.7. What advantages do you see in a classified arrangement?

	Subject browsing	successive title cataloging	one shelving or filing system	title change shelved near old	eliminates shelving questions
Dartmouth	NA				
Virginia	NA				
Johns Hopkins	X				
Iowa		X			
Maine	X		X		
Penn	X	X		X	
Brown	X		X		
Texas	X				
NCSU	X			X	X
Duke	X				
URI					

A.8. What advantage do you see for switching to an alphabetical arrangement in your library?

	NA	No advantage	More economical	Eliminates classifying
Dartmouth	X			
Virginia	X			
Johns Hopkins		X		
Iowa		X		
Penn		X		
Brown	X			
Texas		X		
NCSU		X		
Duke	X			
Maine			X	X
URI		X		

A.9. How would you accomodate a title change in your public listing?

	NA	close entry	added entry older title	successive entry	reference to both	reference from old to new
Dartmouth	X					
Virginia		X				X
Johns Hopkins			X			
Iowa			X			
Maine				X	X	
Penn			X			
Brown						X
Texas				X	X	
NCSU				X		X
Duke				X		
URI				X		

A.10. How would a title change effect the shelving of a classified serial?

	NA	No Affect	If class. number changed, shelved at new number	Retains same class. number	If content remains the same, class. number stays the same
Dartmouth	X				
Virginia			X		
Johns Hopkins					X
Iowa		X			
Maine			X		
Penn				X	
Brown		X			
Texas					X
NCSU			X		
Duke				X	
URI			X		

Answers To Individual Questions in Section B - Bound Serials Alphabetically Arranged

Of the responding libraries only four arrange any bound serials in an alphabetical sequence, and in all four cases, these serials were journals or periodicals. All other serials are classified and questions about these are answered in section A.

B.1 Briefly explain the filing rules used in your alphabetical arrangement of serials.

Answered only by Maine.

B.2 Would a serial with a corporate author be shelved:

	By corporate author	By title	Other
Virg.	X		
Maine	X		
Duke	X		
Iowa	X		

B.3 Which of the following are interfiled in one alphabet?

	journals and periodicals	separate newspaper sequence
Virg.	X	X
Maine	X	X
Duke	X	
Iowa	X	

B.4 If there is more than one alphabetical sequence in shelving your serials, please describe the divisions:

	journals one alphabet	newspapers one alphabet
Virg.	X	X
Iowa	X	X
Duke		
Maine	X	X

B.5 Does the alphabetical arrangement used for listing serials differ from the sequence in which the serials are shelved?

	YES	NO
Virg.		X
Iowa		X
Maine		X
Duke		

B.6 If at any time in the past your serials were classified, why was a switch to an alphabetical arrangement made?

	NA	Browsing	More Economical
Virg.	X		
Iowa		X	
Maine			X
Duke	X		

B.7 How would a title change effect the shelving of a serial?

Virg. - 1) alphabetically arranged, journals are shelved by the title under which it was published,
2) title change is indicated on the spine of the last volume of the former title

Iowa - 1) retitles spines 2) reshelves

Maine - shelved under new title

Duke - NA

B.8 What are the advantages for having an alphabetical arrangement?

Virg. - 1) direct process of going from bibliographic citation to the shelf

Iowa - 1) not many

Maine - 1) cheaper, 2) easier casual use 3) eliminates search step for class no.

Duke NA

B.9 Do you see any advantage for changing to a classified system in your library?

Virg. No (collection is small, primarily for undergraduates' use)

Iowa Yes (title changes easier to accomodate, faulty citations eliminated, problem titles eliminated, eliminates separate shelving for serials)

Duke NA

The following is a summary of the answers given on the questionnaires:

Serials Classified VS Alphabetized

The size of the current serials collection appeared to be a determining factor in classifying or alphabetizing serials. Comparing the size of the libraries serial collection (Table 2) with the categories of serials classified (Table A.1) shows that four out of the eight libraries with over 10,000 current subscriptions classify all serials. Newspapers are not classified in the remaining four libraries with large collections. Iowa does not classify and Duke classifies selected journals and periodicals.

All reporting libraries classify some serials. In particular, annuals and yearbooks are classified without exception. Virginia Commonwealth University classifies memoirs, proceedings, reports, reviews and transactions, if the title is received annually.

The two libraries with the least number of current subscriptions also classify the least number of serials. Virginia and Maine, classify two and six categories respectively. Both libraries arrange bound journals and periodicals alphabetically, and noted that their collections are easily controlled. Maine cited economic advantages for alphabetizing.

Among the many advantages given for maintaining bound serials in a classified system are that this approach places all materials relating to one subject in one place; requires one filing system for serials and monographs; shelves new titles near older, more familiar titles; and provides ease in handling title changes, mergers, cessations, and titles in foreign languages. Successive title cataloging is also possible. None of the reporting libraries cited any advantage for arranging serials in alphabetical order. One library representative states that there are "not many" advantages in their practice of alphabetizing journals and periodicals, and would undertake the project of classifying these serials as well, if funding were available.

There is a greater variation in the shelving methods for unbound issues of classified serials than there is for shelving the bound volumes. Dartmouth and Johns Hopkins use a combination of all three methods - unbound issues classified and shelved separately from the bound, classified and shelved with the bound, and arranged alphabetically. Of the three libraries that classify all unbound issues, one shelves them with the bound issues, one shelved them with the bound issues and the other two libraries shelve them separately. Maine and Virginia do not classify journals, periodicals and newspapers and do shelve them alphabetically.

The Library of Congress Classification System is used by all reporting libraries for classifying serials with the one exception of Duke, which uses the Dewey Decimal System. In all cases where bound serials are classified, these serials are intershelved with the monographs.

Missing Issues/Incomplete Volumes

All libraries reported that they made an attempt to replace the missing issues of a volume before it is bound. The length of time that a library waits for these issues to be located varies from two weeks (Iowa) to one year (Virginia).

Four libraries leave the incomplete volume in the public stacks until the issues are secured or the decision is made to bind without the missing issue. Of the six libraries reporting that incomplete volumes are not left in the public stacks, only two, Johns Hopkins and Duke, do not maintain a public record of where the volumes are stored.

Cataloging Practices

The prevailing practice among the reporting libraries is to catalog serials. Half of the libraries catalog all serials and three additional libraries catalog all serials except newspapers. Reports are not cataloged by Maine, and Penn will catalog a newspaper if it is retained on microform. Virginia does not catalog journals, newspapers, and periodicals, and will catalog memoirs, proceedings, reports, reviews, and transactions if it is published annually.

Maine is the only library which selectively provides subject headings and added entries. Cataloging in all other libraries included subject headings and added entries.

The Union List of Serials, New Serials Titles, and Library of Congress Cataloging are used to establish main entries, by all reporting libraries. Additional sources cited are national bibliographies, the Virginia Union List of Serials, the Berkeley List of Serials, BUCOP, and Half Century of Soviet Serials.

Title Changes

Nine out of ten of the reporting libraries always recatalog a serial when the title changes. The tenth library, Duke, selectively recatalogs. Libraries were asked to describe how the public records would be affected by a title change. Two practices are most predominent. Five libraries catalog the new title and add a reference to the old title that notes the newer title. Four libraries follow rules for successive cataloging that provide linking notes between titles and the last library catalogs the newest title and adds a title varies note.

Recommendations For University of Rhode Island

With the questionnaires of the responding libraries analyzed and studied carefully, and with the existing practices and community input taken into account, the Committee made the following recommendations to the administration of the URI Library.

Annual Publications

Serials published on an annual schedule will go directly to the bound serial stacks with LC or Dewey Classification when available. An annual title which lacks cataloging and/or classification will be assigned a "W" and an accession number. Each subsequent issue will be given the same "W" accession number as the first issue. With this "W" number it will be shelved in the bound serials stacks. No annual serial will be sent to the unbound current serial stacks.

Bound Serials

1. Will be removed from monograph stacks and placed on one level.

2. Shelving sequence will be: (a) Library of Congress
(b) Dewey Decimal
(c) "W" accession number

3. Government Publications, International Publications and State Publications which currently are assigned LC or Dewey class numbers will remain in the bound section for the appropriate system. Those publications with a Superintendent of Documents number, an International number or a State number will be located in the Government publications collections.

Unbound Serials

1. Will be placed on the same level with the bound serials, but in a separate current periodical room.

2. Will be arranged by classification number or "W".

3. Shelving sequence will be LC, Dewey, "W".

"W" Accession Collection

1. Existing bound "W's" will be given an accession number prefixed by the "W".

2. A copy of the new form (to fit Kardex and route serials) with holdings information will be sent to the person responsible for the computer printout.

3. Existing current unbound issues in the present "W" collection will receive the same "W" accession number as the bound, and will be shelved in the current periodical room.

4. Shelving sequence will be LC, Dewey and "W".

Newspapers

1. Will not be included with the other serial arrangements. They will continue to be shelved in alphabetical order by title.

2. They will be cataloged and listed in the public catalog as well as in the computer printout.

3. The Serials Department will be responsible for the paper and microform holdings of newspapers.

4. Newspapers will be retained according to the criteria assigned by the Serials Advisory Committee.[5]

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[5] Serials Advisory Committee was appointed by the Dean, University Libraries in 1972 and charged with reviewing new serial requests, cancellations, serial policy and determination of format.

Public Catalog Entries

1. Will follow LC practices in effect at time of cataloging.

2. "Serial" will be noted by a shield.

Computer Printout

1. Will follow LC practices in effect at time of cataloging.

2. Appropriate cross references will be made.

3. Will serve as public holdings record.

Incomplete Volumes

1. Will be left on the unbound current shelves.

2. If attempts to acquire missing issues have not been fruitful within a 6 month time period, the volume will be bound, citing the lack of issues on the spine or on a page inserted before the first page when spine marking is not possible.

3. When it becomes apparent to the Serials Department or other library personnel that a particular title is frequently being bound with missing issues, the title will be sent to the Serials Advisory Committee for microform consideration.

4. If additional issues are missing at binding time (at the end of 6 months) a search will not be made for these additional issues, but the volume will be bound with the same instructions given in (2) above.

5. When an incomplete volume has 50% or more of its issues missing it will be replaced on microfilm.

Change of Title (Merger, cessations)

Cataloging procedures will follow LC practices in effect at time of change of title.

submitted by Elizabeth Gates Kesler
Gay Teborek

APPENDIX A

UNIVERSITY OF RHODE ISLAND SERIALS ALPHABETIZING COMMITTEE

QUESTIONNAIRE

NAME OF LIBRARY _____ DATE _____

ANSWERED BY _____ POSITION _____

GENERAL QUESTIONS

1. How are serials defined by your library?

2. How many serial titles does your library currently receive? _____

3. How many new serial titles did you subscribe to in:

   a. 1970 _____ c. 1972 _____ e. estimate for 1974 _____

   b. 1971 _____ d. 1973 _____

4. Indicate the following serials that are catalogued by your library:

a. all serials	__	e. newspapers	__	i. reviews	__
b. annuals	__	f. periodicals	__	j. transactions	__
c. journals	__	g. proceedings	__	k. yearbooks	__
d. memoirs	__	h. reports	__	l. other	__

5. Does the cataloging include subject headings? yes__ no__ other__

6. Does the cataloging include added entries? yes__ no__ other__

7. Do you recatalog when a change of title occurs? yes__ no__ other__

8. How would a title change affect the public record?

9. What authority do you use to establish a serial main entry? Check all that apply:

   a. Library of Congress ____ d. other _____

   b. New Serial Titles ____

   c. Union List of Serials ____ e. none _____

10. Do you attempt to replace missing issues before binding a volume?

    yes __ no __ other__

11. How long would you wait for a missing issue to be located? _____

12. Where are incomplete volumes stored? _____

13. If incomplete volumes are not left in the public stacks, is there a public record of where they may be located? yes __ no __ other __

14. Where would a patron find a listing of the serials your library owns? Check all that apply:

    a. public catalog under a generic term such as PERIODICALS ___

    b. public catalog under teh title of the serial ___

    c. computer printout of the serials titles ___

    d. line-dex ___

    e. a separate public catalog for serials only ___

    f. kardex ___

    g. book catalog ___

    h. other ___

GENERAL QUESTIONS CONTINUED

15. Where could a record of serial holdings be found in your library? Check all that apply:

    a. public catalog ____
    b. computer printout ____
    c. line-dex ____
    d. separate catalog for serial titles and holdings only ____
    e. public kardex ____
    f. book catalog ____
    g. other ____

16. Do you have open stacks for bound serials? yes __ no __ other __

17. Do you have open stacks for unbound serials? yes __ no __ other __

18. Which of the following serials circulate?

a. all serials	__	e. newspapers	__	i. reviews	__
b. annuals	__	f. periodicals	__	j. transactions	__
c. journals	__	g. proceedings	__	k. yearbooks	__
d. memoirs	__	h. reports	__	l. other	__

19. Which department services unbound serials? _____

20. Which department services bound serials? _____

The remaining questions are divided into two sections:

a. If BOUND serials in your library are classified, please answer the questions in SECTION A.

b. If BOUND serials in your library are alphabetically arranged, please answer the questions in SECTION B.

c. If both methods are used, please answer the appropriate questions in both SECTIONS A and B.

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SECTION A

A.1. Which serials are classified?

a. all serials	__	e. newspapers	__	i. reviews	__
b. annuals	__	f. periodicals	__	j. transactions	__
c. journals	__	g. proceedings	__	k, yearbooks	__
d. memoirs	__	h. reports	__	l. other	__

A.2. Which classification system do you use?

a. Library of Congress ___
b. Dewey Decimal ___
c. other, please specify ___

A.3. Is this the same classification system used for monographs?

yes __ no __ other __

A.4. Are your classified serials -

a. intershelved with monographs _____
b. shelved in a distinct area of their own __
c. other, please specify _____

A.5. Are unbound serials-

a. classified, but shelved separately from the bound serials __
b. classified and shelved with the bound issues ___
c. alphabetically arranged in a separate collection, plese explain briefly on the reverse of this sheet the alphabet used ___
d. other, please specify _____

A.6. If at any time in the past, your serials were arranged alphabetically, why was a switch to a classified arrangement made?

A.7. What are the advantages in a classified arrangement?

A.8. What advantages do you see in switching to an alphabetical arrangement in YOUR library?

A.9. How would you accomodate a title change in your public listing?

A.10. How would a title change affect the shelving of a serial?

SECTION B

B.1 Briefly explain the filing rules used in your alphabetical arrangement of serials. Please be as specific as possible, indicating exceptions.

B.2. Would a serial with a corporate author (e.g. Journal of the American Medical Association) be shelved:

a. by the corporate author (e.g. American Medical Association. Journal) ____

b. by the title (e.g. Journal of the American Medical Association) ____

c. other, please explain _____

B.3. If serials are in one alphabetical sequence, which of the following are interfiled in one alphabet?

a. all serials	___	e. newspapers	____	i. reviews	____
b. annauls	___	f. periodicals	____	j. transactions	__
c. journals	___	g. proceedings	____	k. yearbooks	___
d. memoirs	___	h. reports	____	l. other	___

B.4. If there is more than one alphabetical sequence used in shelving your serials, please describe the divisions.

B.5. Does the alphabetical arrangement used for LISTING serials differ from the sequence in which the serials are shelved?

yes, please explain ____ no __ other __

B.6. If at any time in the past your serials were classified, why was a switch to an alphabetical arrangement made?

B.7. How would a title change affect the shelving of a serial?

B.8. What are the advantages for having an alphabetical arrangement?

B.9. Do you see any advantages for changing to a classified system in YOUR library?

If the abouve questions do not accurately describe your serials arrangement, please specify your serial situation on the reverse of this sheet.

APPENDIX B

UNIVERSITY OF RHODE ISLAND
KINGSTON • R. I. 02881

University Library

July 30, 1974

Dear Serial Librarian,

The University of Rhode Island Library will soon break ground for an addition to the present building. With the increase in floor space, the possibility of housing all serials, bound and unbound, on one floor has become a possibility. A special committee, the Serials Arrangement Committee, has been appointed by the Dean, University Libraries, to study the arrangement of serials in academic libraries.

Attached is a set of questionnaires concerned with various aspects of serials arrangement. The first section contains general questions. The next section, SECTION A, contains questions about alphabetically arranged collections of bound serials. The last section, SECTION B, contains questions about bound serials in a classified arrangement. Depending on how your library arranges serials, would you please answer the questions in either SECTION A or SECTION B or both?

In preparing the questionnaires, the following definition of a serial as stated in the Anglo-American Cataloging Rules, 1967, has been used:

> "a publication issued in successive parts bearing numerical or chronological designation and intended to be continued indefinitely. Serials include periodicals, newspapers, annuals, (reports and yearbooks, ect.), the journals, memoirs, proceedings, transactions, etc. of societies."

The definition does not include numbered mnographic series.

Your cooperation in this study will be greatly appreciated. Please return the questionnaire by August 21, 1974. If you would like to know the results of this survey, please feel free to contact the Committee.

Sincerely,

Serials Arrangement Comm.

Elizabeth Gates
Amar Lahiri
Gay Teborek

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